Chapter Eighteen
Management Information System

Overview

Policy

The State agency will provide automation resources and capabilities to all local agencies. This will increase effectiveness of operations and the timeliness of communications statewide.

In this chapter

This chapter is divided into three (3) sections which detail State and local responsibilities, and define Management Information System (MIS)-related terms.

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Section A
State Agency Responsibilities

Provide information

The State agency will:

Provide a copy of the State agency Automation and Telecommunications Policy to all local agencies.

Use facilities

Use Arizona Department of Health Services (ADHS) telecommunication facilities when feasible.

Identification & procurement of resources

Provide each local agency with an up-to-date list of automation resources and components which comprise the State agency standard automation resource configuration. Each item on the list will be identified by brand, model, size, capacity, version, level, etc.

Note: Additions to or deletions from the list may be made only with the approval of the ADHS Information Technology Service (ITS) office.

Work with local agencies to identify automation resource needs and procure those resources. Resources purchased by the State agency will be shipped to/and or installed in the local agencies.

Notify local agencies of the availability of ADHS standard software and computer user training through ADHS in accordance with the ADHS ITS policy.

Upgrade local agency automation resources to the latest version or model identified in the State agency standard automation resource configuration as required, based on local agency need.

Comply with the Department policy regarding inventory receipt and warranty, tagging, and control of automation resources purchased with WIC funds.

Account for all automation resources procured or developed with WIC funds.

Provide technical support & training

Maintain toll-free telephone support 24 hours per day, 7 days per week.

Provide, as needed, training and materials for users of automated systems which directly support WIC clinic programmatic processes. All other user technical support inquiries will be forwarded to the ADHS help desk.

Provide WIC-dedicated user technical support to resolve automation related problems.

Review proposals

Review and provide written authorization or disapproval of local agency requests and proposals for:

- Changes to their standard WIC automation resource configuration;

- Purchase of WIC computer equipment or software;

- Sharing the use of WIC automation resources with non-WIC operations;

- Use of WIC funds for development of software by a non-State agency source.

The WIC Coordinator will notify the local agency of the decision within 30 calendar days of receipt of the request/proposal.

Note: The review process will be conducted by ADHS employees with expertise specific to the subject matter of the request who will assess its technical feasibility and associated performance and security issues.

MOUs

Prepare, approve and monitor all Memorandums of Understanding (MOU) between the State agency and the local agency and/or third party contractors or consultants regarding the use, sharing, and inter-connectivity of WIC-funded automation resources.

Note: All MOUs will reinforce the need for compliance with this policy document, and will define or clarify issues as required to achieve mutual understanding and agreement.

Maintenance contracts

Make available to each local agency the opportunity to contract with the vendor currently contracting with the State agency for maintenance. This would be a contract between the local agency and the vendor using existing State agency rates.

<u>Note</u>: When requested by the local agency, the State agency will work with the local agency to review the local agency's equipment situation and determine its most cost-effective and responsive equipment maintenance and repair services option.

Section B
Local Agency and Third Party Contractor Responsibilities

Staff/competency   Local agencies and third party contractors will:

Identify specific WIC functions and staff members who will significantly benefit from the implementation of automation resources.

Ensure that all local agency, clinic and county staff, and third party contractors who use WIC owned automation resources fully understand all sections of the Automation Resources Policy and Procedures in the Arizona WIC Program Policy and Procedure Manual;

Ensure that all users of WIC owned automation resources are adequately trained on each resource prior to use.

Procurement   Request and receive authorization from the State agency prior to the procurement of automation resources or consulting services with the use of WIC funds.

Receipt of equipment   Within five (5) calendar days, acknowledge to the State agency the receipt of State agency procured equipment and software.

Within five (5) calendar days, acknowledge to the State agency receipt of automation resources purchased by the local agency with WIC funds. Information forwarded to the State agency should include brand name, model, version, serial number, etc. of each resource received.

Equipment changes

Request and receive written authorization from the State agency prior to any change to a WIC owned automation resource. This includes, but is not limited to, hardware, hardware settings, software, software settings, network and telecommunication equipment, inter-connectivity with outside automation resources. Changes made as a result of a system problem must be documented and communicated to the State agency within seven (7) calendar days of when the change is made.

Sharing resources

Submit cost allocation proposals with justification of need, and receive written authorization from the State agency prior to using WIC owned automation resources for non-WIC functions, or for non-WIC automation resources, e.g., county owned LANs, servers, PCs for WIC functions.

Fees

Pay monthly service charges for the telecommunications lines that connect the local agency with the State agency and other local agencies.

Inventory control

Properly place State agency tags on local agency procured equipment.

Reasonably control all WIC owned automation resources, including the use of resources only for WIC functions, secured protection from loss, and known location of all resources at all times.

Automation resources damaged due to negligence will be replaced by the local agency or the local agency will reimburse the State agency the non-depreciated cost of each resource using non-program funds.

Lost or stolen equipment

Notify the State WIC Financial Consultant of lost or stolen automation resources within 24 hours. For stolen resources, the police report, when available, and the completed Capital Equipment Control Report will be forwarded to the State WIC Financial Consultant.

MOUs

Comply at all times with the MOU with the State agency.

**Maintenance &
repair of
equipment**

Ensure that WIC owned automation resources are kept in good working order at all times.

- The Help Desk should be contacted at the first indication of software, e-mail or network related problems.

- While the manufacturer's warranty is in effect, the State agency Help Desk should be contacted immediately when a hardware problem is detected. For hardware out of warranty, the State agency or the appropriate vendor should be contacted immediately when a hardware problem is detected.

Ensure that only approved standard replacement components are installed in WIC owned automation resources when maintenance or repair is performed by individuals other than State agency employees.

Select the most suitable of three (3) equipment maintenance and repair service options available to the local agency upon expiration of equipment warranties. Options are:

- Use of qualified local agency ITS staff;

- Annually contracted local vendors. Contracts will be based on fees for time and materials;

- ADHS statewide computer maintenance contracts with pricing based on equipment type on an annual basis.

Note: When the ADHS option is selected, a purchase order will be completed and submitted to the State agency.

Section C
Definitions

ADHS Help Desk	The Help Desk is the single point of entry for users to call when hardware, software, LAN or other problems occur. Help Desk personnel gather information about the problem or request and direct calls to appropriate personnel.
	<u>Note</u>: The Help Desk number is 1-800-382-8231.
ADHS computer maintenance contracts	ADHS offers through its Information Technology Services (ITS) division, a service level agreement with a third party for maintenance of many different types of computing equipment. The maintenance agreement incorporates recovery, security and audit plans.
Adequate training	The amount of training an individual needs to use, troubleshoot or maintain the automation resource. Adequate training may follow a designated apprenticeship with supervision.
Authorization	Approval in writing from the State agency that gives a local agency permission to proceed with the requested procurement, change, shared use of equipment, etc. for WIC owned automation resources.
Automation resource	Any automation related product or service such as a PC, printer, local area network (LAN), telecommunications router, or telecommunications line.

Capital Equipment Control Report (Form F-4)

This multi-part form is the single audit tract of WIC owned computer equipment within facilities, agencies, clinics and ADHS. The form should be accurately completed and forwarded to the Office of Nutrition Services, ADHS, to report lost or stolen equipment, transfer of equipment from one facility to another, or any other disposition of equipment.

Note: Transfer of any computer equipment from a facility without an attached Form F-4 is prohibited. The sender as well as the receiver must sign the form.

Component

Any part, sub-element, peripheral, etc. of an automation resource that may be modified, removed and/or replaced.

Configuration

The assigned set of standard resources procured and delivered to a local agency.

Example   A Pentium 2 550 PC with 128 Mb memory with ADHS ITS pre-defined standardized Windows NT 4 operating system ,Arizona In Motion software and Microsoft Word 97 setups, 20 Gb hard drive, and SVGA monitor.

Cost allocation proposal

A formal written proposal from a local agency which clearly delineates the apportioned costs of implementing and operating any shared automation resource in the local agency for WIC use and for non-WIC use.

Equipment

Re: automation resource. Includes PCS, printers, servers, server shelves, PC tables, power supplies, routers, cables, telecommunication lines, etc.

Fraud

Misuse of an automation resource through deliberate deception so as to secure unlawful gain.

Example	Printing WIC drafts for personal use from the Automated Manual Draft software.

Hardware	Automation resources that are not software. (See Equipment.)

Interconnectivity	Connection of the state WIC telecommunications system with an outside network or computer resource.

Example	A county e-mail system that is accessible through a WIC owned LAN.

Continued on next page

Inventory list   A list that details all items procured and received by a local agency. Each item on the list is identified by brand name, size or capacity, version, model, serial number, and State agency tag number.

Local Area Network (LAN)   A network located in a common environment which utilizes shared resources (mass storage, printers, backup devices, security) to reduce cost. Key components are a file server, cabling, and a network interface card located at the workstation.

Maintenance   Repair required on any portion of an automation resource. Maintenance must be performed in accordance with the maintenance option in place at the time of the required maintenance.

MOU   Memorandum of Understanding. An agreement or contract between the State agency and a local agency and/or third-party contractor, as applicable. The MOU contains specific statements regarding use, sharing, maintenance, etc. of automation resources not sufficiently addressed in the Arizona WIC Program Policy and Procedure Manual.

Moved equipment   Equipment that is moved from one office to another, from one building to another, from one local agency to another, or from one building to another, from one local agency to another, or from a local agency to the State agency.

Network   Two or more computers and peripheral devices interconnected as a system to facilitate communication between computers and devices, sharing of software and database information, sharing of peripheral devices, security and backup information, etc.

A network can take on one of many forms, which is usually determined by resource numbers and usage. A network may connect computers and peripherals in a single office or a building or may connect two or more networks into a LAN, a wide area network (WAN), or the Internet.

Out-source	Going out of the government agency to obtain resources to perform specialized or short-term tasks. Out-sourcing is usually done when the agency does not want the responsibility of hiring, housing and maintaining employees to do the needed work.
Peripheral device	A device that is associated with a PC or server, such as a printer, external drive, or tape backup, monitor, modem, speaker, uninterruptible power source, etc.
Security	The act of protecting an automation resource from theft, fraud, misuse or damage. Protection may include physical, locked enclosures that protect a PC or server, regular automated backups of critical data, passwords in software to keep unauthorized users out, "locked" Windows software to prevent installation of unauthorized applications, telecommunications equipment that prevents unauthorized network access, procedures and controls to prevent automation resources from being moved, and adequate structures to hold heavy hardware.
Sharing	WIC and non-WIC operations using the same automation resource. For example, networks shared by WIC e-mail and county e-mail, PCS that are used to do WIC business and business that relates only to the county, WIC network lines through which non-WIC county data passes on its way to a remote destination.
Software	Processes written in a symbolic language that is recognizable to a computer. A word processing software program may consist of millions of unique processes that work together to add words to a document, block text in a document, print the document, etc.
Support	Provision of State agency, local agency, or third-party assistance in the form of the Help Desk, software training, software, hardware, and network related upgrades and maintenance.

Standard configuration	The automation resource design prescribed by the State agency for use in the local agencies and clinics. For example, a PC designated for a particular clinic function will have pre-defined settings, memory and hard drive requirements, specific software, specific Windows settings, designated peripherals, specific network connections, etc. that may not be altered so as to ensure secure and effective operation.
State tag	The ADHS provided tag which must remain affixed to all capital equipment during its period of service.
Telecommunications	A general term that is used to describe the electronic transmission of information from one location to another over a communications link.
Third party contractor	A contractor whose services have been procured to perform a series of predefined tasks. For example, an equipment maintenance technician, a network technician, a software contractor, etc.
Transferred equipment	Equipment that is moved from one facility to another, a printer moved from one PC to another PC, or equipment returned to the State agency by the local agency.
Upgrade	The act of loading the latest version of software that is already installed on a PC or server, or bringing the hardware configuration of a PC up to the capacity required to meet the specifications of the software used by that PC.
WIC Automation Liaison	State agency WIC staff that assist local agency and clinic personnel who have encountered problems or questions about software specifically built to enhance WIC operations. For example, the Arizona In Motion software. Automation liaisons also perform the initial training of staff on the use of hardware.

Chapter Eighteen
Management Information System

Appendix A: Forms

ARIZONA DEPARTMENT OF HEALTH SERVICES
CAPITAL EQUIPMENT CONTROL REPORT

(Check Appropriate Box)

☐ Transfer

☐ Request for Equipment

☐ Pick-up Equipment

☐ Lost

☐ Stolen

OFFICE OF INVENTORY CONTROL

2500 EAST VAN BUREN STREET

PHOENIX, AZ 85008

PHONE (602) 629-7353

FAX (602) 220-6052

DATE _____

DATE POLICE NOTIFIED _____   POLICE REPORT NUMBER _____

FROM _____   BY _____
                    DIVISION   AUTHORIZED SIGNATURE

TO _____   BY _____
                    DIVISION   AUTHORIZED SIGNATURE

                                                          _____
                                                                  INVENTORY CONTROL

DELIVERY
PERSON _____   DATE _____   NUMBER
                                                         OF PIECES _____

CONDITION OF EQUIPMENT
CONDITION CODES: 1. EXCELLENT   2. GOOD   3. FAIR   4. POOR   5. CONDEMNABLE

ITEM_____ SERIAL NO._____ STATE EQUIPMENT NO. _____

DESCRIPTION_____

condition   1.   2.   3.   4.   5.   (circle appropriate number)

ITEM_____ SERIAL NO._____ STATE EQUIPMENT NO. _____

DESCRIPTION_____

condition   1.   2.   3.   4.   5.   (circle appropriate number)

ITEM_____ SERIAL NO._____ STATE EQUIPMENT NO. _____

DESCRIPTION_____

condition   1.   2.   3.   4.   5.   (circle appropriate number)

ITEM_____ SERIAL NO._____ STATE EQUIPMENT NO. _____

DESCRIPTION_____

condition   1.   2.   3.   4.   5.   (circle appropriate number)

ITEM_____ SERIAL NO._____ STATE EQUIPMENT NO. _____

DESCRIPTION_____

condition   1.   2.   3.   4.   5.   (circle appropriate number)

ITEM_____ SERIAL NO._____ STATE EQUIPMENT NO. _____

DESCRIPTION_____

condition   1.   2.   3.   4.   5.   (circle appropriate number)

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